

R10 InfoPage

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Q&D - Office of Management Programs - Human Resources Unit Disposition Schedules

SERIES DESCRIPTION	DISPOSITION	NARA NUMBER
Link to the common	Link to your full printable	Link to Printable
Housekeeping Schedules that may not be included in this table	OMP - HRU File Plan Spreadsheet	Intuitive Folders List
<p>ADMINISTRATIVE GRIEVANCE, DISCIPLINARY & ADVERSE ACTIONS FILES: Consists of administrative grievance files. Records relate to grievances raised by Agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.</p> <p>Also includes adverse action files and performance-based actions. Case files and records relate to adverse actions and performance-based actions (removal, suspension, reduction-in-trade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, excluding letters of reprimand which are filed in the official personnel folder (OPF).</p> <p>Item a: Administrative grievance files</p> <p>Item b: Adverse action files and performance-based actions</p> <p>Function: 403-256 564</p>	<p>Item a: Disposable Close inactive records at end of year after case is closed. Destroy when 4 years old.</p> <p>Item b: Disposable Close inactive records at end of year after case is closed. Destroy when 4 years old.</p>	<p>GRS 1/30</p> <p>Status: Final, 8/31/2010</p>
<p>COMMITTEE RECORDS NOT MAINTAINED BY THE SPONSOR OR SECRETARIAT: Includes copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions maintained by parties other than the sponsor or secretariat.</p> <p>Excludes: Records maintained by the sponsor or secretariat of advisory commissions, committees, councils, boards and other groups established under the Federal Advisory Committee Act (FACA) scheduled as EPA 181.</p> <p>Item a: Record copy</p> <p>Function: 401 186</p>	<p>Item a: Disposable Destroy when 3 years old.</p>	<p>GRS 26/3</p> <p>Status: Final, 12/31/2009</p>

<p>results of tests conducted under continuity of operations (COOP) plans. Also includes background documents such as instructions to members participating in test, staffing assignments, messages, and tests of communications and facilities.</p> <p>Item a: Consolidated and comprehensive reports</p> <p>Item b: Background documents</p> <p>Function: 302-095 603</p>	<p>Destroy 5 years after file closure.</p> <p>Item b: Disposable Close inactive records when report is completed.</p> <p>Destroy 3 years after file closure.</p>	<p>Status: Final, 08/31/2008</p>
<p>CONTINUITY OF OPERATIONS (COOP) PLANS: Contains continuity of operations (COOP) plans and directives for the continued operation of EPA in times of an emergency or disaster. Includes related background documents such as correspondence, reports and instructions, charts and plans used in defense mobilization planning, evacuation shelters, emergency relocation and the vital records protection program.</p> <p>Item a: Plan or directive</p> <p>Item b: Background documents</p> <p>Function: 302-095 602</p>	<p>Item a: Disposable Close inactive records when superseded or canceled.</p> <p>Destroy 5 years after file closure.</p> <p>Item b: Disposable Close inactive records when superseded or canceled.</p> <p>Destroy 3 years after file closure.</p>	<p>N1-412-07-54/7 (Item a) GRS 18/27 (Item b)</p> <p>Status: Final, 12/31/2012</p>
<p>CONTRACT MANAGEMENT RECORDS: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).</p> <p>Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p> <p>Item b: Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)</p> <p>Item c: Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 202</p>	<p>Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.</p> <p>Destroy 6 years and 3 months after final payment for the overall contract.</p> <p>Item c: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.</p> <p>Destroy 6 years and 3 months after final payment for the overall contract.</p>	<p>N1-412-06-6/5</p> <p>Status: Final, 10/31/2008</p>
<p>DISASTER RESPONSE: Includes records that document EPA's response to disasters or emergencies. Records include, but are not limited to, damage surveys, damage assessments, environmental samplings, GIS data, inspection reports, correspondence, interagency documentation, and administrative support documents.</p> <p>Excludes: Records related to the logistical or administrative aspects of a response (e.g., staffing, travel, timekeeping, etc.) that are covered by their specific administrative schedules.</p> <p>Item a: Presidential declared major disasters Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters</p>	<p>Item a(1): Permanent Close inactive records upon completion of each major benchmark.</p> <p>Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon completion of each major benchmark.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p>	<p>N1-412-07-61</p> <p>Status: Final, 2/28/2011</p>

Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item a(1): Presidential declared major disasters - Nonelectronic
Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item a(2): Presidential declared major disasters - Electronic
Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item a(3): Electronic copy of records transferred to the National Archives
Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item b: Other Presidential declared emergencies
Includes records documenting short-term federal emergencies requiring federal assistance to supplement state and local efforts to save lives, protect property, or to lessen or avert the threat of a catastrophe.

Item c: Local EPA emergencies
Includes local emergencies occurring in or near EPA facilities (e.g., flooding due to a broken pipe) affecting the ability to conduct EPA business.

Function: 104-010-01 **233**

Delete after electronic record copy is successfully transferred to the National Archives.

Item b: Disposable

Close inactive records upon completion of final inspection.

Destroy 10 years after file closure.

Item c: Disposable

Close upon completion of all clean up and restoration activities.

Destroy 10 years after file closure.

GRANTS & OTHER PROGRAM SUPPORT

AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site -specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.

Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and

Item a: Disposable

Close inactive records immediately after closeout of the agreement.

Destroy 10 years after file closure.

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<p>justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> <p>Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).</p> <p>Item a: Record copy</p> <p>Function: 205 003</p>		
<p>INTERGOVERNMENTAL PERSONNEL ACT (IPA) ASSIGNMENT FILES: Consists of records documenting the temporary assignment of personnel between the federal government and state or local governments, institutions of higher education, Indian tribal governments, and other eligible organizations.</p> <p>Item a: Record copy</p> <p>Function: 403-251-02 570</p>	<p>Item a:Disposable Close inactive records upon termination of assignment. Destroy 2 years after file closure.</p>	<p>N1-412-07-62/5</p> <p>Status: Final, 3/31/2009</p>
<p>INTRA-AGENCY AND INTERNAL COMMITTEES: Includes records of meetings of committees and non-rulemaking work groups and task forces held within EPA related to EPA's mission. Consists of meeting agendas, official copies of minutes or transcripts of meetings, copies of official committee reports, and background papers. Also includes committees established for facilitative or operational purposes unrelated to EPA's mission, composed wholly of full-time officers or employees of the federal government, and not subject to the Federal Advisory Committee Act (FACA), e.g., committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities.</p> <p>Item a: Committees related to EPA's environmental missions</p> <p>Item b: Committees unrelated to EPA's environmental missions</p> <p>Function: 401 187</p>	<p>Item a:Disposable Close inactive records when committee superseded or canceled, at the completion of a significant activity (e.g., completion of a research report), or at the change of committee chair. Destroy 5 years after file closure.</p> <p>Item b:Disposable Destroy when no longer needed for administrative purposes.</p>	<p>N1-412-07-1/8 (Item a) GRS 26/1a (Item b)</p> <p>Status: Final, 12/31/2009</p>
<p>LABOR MANAGEMENT RELATIONS RECORDS:Consists of labor management relations general and case files, including correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups. Also includes labor arbitration general and case files, including correspondence, forms, and background papers relating to labor arbitration cases.</p>	<p>Item a(1):Disposable Destroy 5 years after expiration of agreement.</p> <p>Item a(2):Disposable Destroy when superseded or obsolete.</p> <p>Item b:Disposable Destroy 5 years after final resolution of case.</p>	<p>GRS 1/28</p> <p>Status: Final, 02/20/2007</p>

<p>Item a(2): Labor management relations general and case files for other offices Item b: Labor arbitration general and case files</p> <p>Function: 403-258 577</p>		
<p>MANAGEMENT STUDIES: Consists of staff studies; analyses of administrative policies and procedures; manpower surveys; organization and methods surveys and studies; activity, progress, management improvement, and other reports; and other related records.</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-107 105</p>	<p>Item a(1):Permanent Close file after completion of the study or report or when canceled. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item a(2):Permanent Close file after completion of the study or report or when canceled. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/2</p> <p>Status: Final, 01/31/2011</p>
<p>MERIT PROMOTION CASE FILES:Contains records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.</p> <p>Item a: Record copy</p> <p>Function: 403-255-04 562</p>	<p>Item a:Disposable Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.</p>	<p>GRS 1/32</p> <p>Status: Final, 02/20/2007</p>
<p>OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, including facsimile machine and facility logs; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies, equipment, services; routine, administrative meeting arrangements; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels), contact lists, and other materials that do not serve as unique documentation of the programs of the office.</p> <p>Excludes: Record copies of organizational charts, functional statements and related records that document the essential organization, staffing and procedures of EPA that are scheduled separately. (ADMI 110) (Formerly BUDG 596)</p> <p>Item a: Record copy</p> <p>Function: 401 110</p>	<p>Item a: Disposable Destroy when 2 yrs. old.</p>	<p>GRS 23/1</p> <p>Status: Final, 1/31/2009</p>
<p>OFFICIAL PERSONNEL FILE (OPF): CIVILIAN: Contains personnel records as detailed in The Guide to Personnel</p>	<p>Item a(1):Disposable See Chapter 7 of The Guide to Personnel Recordkeeping for</p>	<p>GRS 1/1a (Item a (1))</p>

<p>on the right side of the OPF. Includes records for employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.</p>	<p>Item a(2):Disposable Transfer folder to National Personnel Records Center, St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.</p>	<p>GRS 1/10a (Item b (1)) GRS 1/10b (Item b (2)) Status: Final, 04/30/2010</p>
<p>Item a(2): Separated employee records filed on the right side of the OPF. Includes records for employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.</p>	<p>Item b(1):Disposable Destroy when superseded or obsolete, or upon separation or transfer of employee unless specifically required to be transferred with the OPF.</p>	
<p>Item b(1): Correspondence and forms maintained on the left side of the OPF for temporary individual employee records. Includes all copies maintained in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, excluding the Immigration and Naturalization Service Form I-9 and performance-related records.</p>	<p>Item b(2):Disposable Destroy 3 years after employee separates from service or transfers to another agency.</p>	
<p>Item b(2): Immigration and Naturalization Service Form I-9 for temporary individual employee records.</p>		
Function: 403-251-03 553		
<p>PERSONNEL TRAINING RECORDS: Files contain the general file of Agency-sponsored personnel training, including correspondence, memoranda, agreements, authorizations (e.g., SF 182 - Request, Authorization, Agreement and Certification of Training), reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences, as well as background and working files.</p>	<p>Item a(1):Disposable Destroy when 5 years old or 5 years after completion of a specific training program.</p>	<p>GRS 1/29 Status: Final, 02/20/2007</p>
<p>Also includes employee training records including correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in personnel training programs sponsored by other government agencies or non-Government institutions.</p>	<p>Item a(2):Disposable Destroy when 3 years old.</p>	
<p>Excludes: Training for specialized program areas and the record copy of manuals, syllabuses, textbooks, and other training aids developed by the Agency which are scheduled as EPA 200.</p>	<p>Item b:Disposable Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p>	
<p>Item a(1): General file of Agency-sponsored personnel training</p>		
<p>Item a(2): Background and working files</p>		
<p>Item b: Employee training</p>		
Function: 403-255-01 571		
<p>POSITION CLASSIFICATION FILES: Consists of records relating to classification of positions within the organization.</p>	<p>Item a(1):Disposable Destroy when superseded or obsolete.</p>	<p>GRS 1/7 Status: Final, 02/21/2007</p>
<p>Item a(1): Position classification standards files</p>	<p>Item a(2)(a):Disposable Destroy 5 years after position is abolished or description is superseded.</p>	
<p>Item a(2)(a): Case file Includes correspondence and other records relating to the development of standards for classification of positions peculiar to EPA, and</p>	<p>Item a(2)(b): Disposable Destroy when 2 years old.</p>	

<p>Includes correspondence and other records relating to the development of standards for classification of positions peculiar to EPA, and OPM approval or disapproval.</p> <p>Item b: Position descriptions</p> <p>Item c(1): Survey files - Classification survey reports Includes reports on various positions prepared by classification specialists, including periodic reports.</p> <p>Item c(2): Survey files - Inspection, audit, and survey files Includes correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.</p> <p>Item d(1): Appeals files - Case files relating to classification appeals, excluding OPM classification certificate</p> <p>Item d(2): Appeals files - Certificates of classification issued by OPM</p> <p>Function: 403-252-02 559</p>	<p>abolished or description is superseded.</p> <p>Item c(1): Disposable Destroy when 3 years old, or 2 years after regular inspection, whichever is sooner.</p> <p>Item c(2): Disposable Destroy when obsolete or superseded.</p> <p>Item d(1): Disposable Destroy 3 years after case is closed.</p> <p>Item d(2): Disposable Destroy after affected position is abolished or superseded.</p>	
<p>PROGRAM DEVELOPMENT FILES: Consists of records related to the development of environmental and administrative policies and programs. Records consist of correspondence, briefing books and papers, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, published and unpublished directives and policy guidance documents, and related records that document the development of environmental programs, program priorities and objectives, program evaluation and planning, and similar topics.</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-02 145</p>	<p>Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-29</p> <p>Status: Final, 10/31/2010</p>
<p>PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.</p>	<p>Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.</p>	<p>N1-412-06-6/2</p> <p>Status: Final, 11/31/2009</p>

records (EPA 145). Item b: Other than senior officials Function: 301-093 006		
RETIREMENT ASSISTANCE FILES: Contains correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. Item a: Record copy Function: 403-257 567	Item a: Disposable Destroy when 1 year old.	GRS 1/39 Status: Final, 02/21/2007
SERVICE RECORD CARDS (STANDARD FORM (SF) 7 OR EQUIVALENT): Consists of service records cards (Standard Form (SF) 7 or equivalent) for employees. Note: Effective December 31, 1994, the SF 7 card became obsolete. Item a: (Reserved) Item b: Cards for employees separated or transferred on or after January 1, 1948 Function: 403-251-03555	Item a: (Reserved) Item b: Disposable Destroy 3 years after separation or transfer of employee.	GRS 1/2a (Item a) GRS 1/2b (Item b) Status: Final, 04/30/2007
TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids. Excludes: Records for training administered by the Personnel program scheduled as EPA 571. Item a: Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency. Item c(1): Mission-related training materials - Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs. Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs. Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs. Function: 305-109-02-04 200	Item a: Disposable Close inactive records after course or material is superseded. Destroy 5 years after file closure. Item c(1): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item c(2): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-11 Status: Final 04/30/2012

